

RAD INTERNAL PROCEDURE
No. 2

13 September 1968

Policy and Procedures Governing Correspondence with Retirees

1. General Policy

The Retirement Affairs Division (RAD) will routinely initiate follow-up correspondence with each retiree on the sixth-month anniversary of his retirement. In general terms, this correspondence will convey to the retiree the Agency's continuing interest in his well-being, adjustment to retirement, employment situation, and to solicit other information of potential value to the retirement program. Exceptions to this policy will be made in those situations where the Central Cover Staff, Office of Security, the Special Activities Staff/OP, Benefits and Services Division/OP or the parent division of the retiree interpose conditions on the contacting of an individual.

2. Procedures

a. Preparation and Review of Correspondence Lists

Each month the Retirement Operations Branch (ROB) will furnish to the External Employment Assistance Branch (EEAB) a list of the names of those employees who retired five months previously. A copy of this list will be forwarded by EEAB to the Central Cover Staff, Office of Security, BSD/OP and to SAS/OP for review and concurrence prior to the preparation of the follow-up letter.

b. Preparation of Follow-up Letters

The EEAB will prepare the standard follow-up letter for each of the retirees on the approved list. Although a standard format and wording will be used, in each case the letter will be typed as an original. (See Tab A.) Attached will be a standard form for completion by the retiree. (See Tab B.) Letters will be completely

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c. Retiree Responses

- (1) Responses to the follow-up letters will be received, recorded and tabulated by EEAB, and will then be forwarded to C/RAD for review and a determination as to the need for further action.

- (2) All responses requiring action related to employment assistance will be returned to EEAB for follow-up.
- (3) If other action is required, the C/RAD will designate an RAD officer who will assemble whatever information is required and prepare an official reply. Information provided to EEAB for closing the case should include identification of the office or individual from whom the information was obtained or to whom referral was made.
- (4) In any instance where the C/RAD or the action officer detects any element or facet of the case which suggests a potential security problem or concern, a further check will be made with the Office of Security and/or Central Cover Staff, as appropriate, before an official reply is dispatched.
- (5) Letters of reply will be completely sterile, on plain bond paper, and signed with the established alias. The return

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RAD INTERNAL PROCEDURE
No. 1

12 September 1968

Establishment, Maintenance and Disposition of
Retiree Dossiers and Related Records

1. General Policy

The Retirement Affairs Division (RAD) has established a retiree records system which is designed to provide a central point for maintaining data pertinent to each potential retiree. The records system consists of a central file of individual dossiers containing all retirement information, documentation and a record of all actions taken, materials provided and assistance rendered to each retiree from his initial contact with RAD until such time as retirement and/or external employment assistance is no longer required. The records system also includes a WHEELDEX card index to insure proper monitoring of the dossier file, control of dossiers removed from the file for any reason, and a permanent record of pre-retirement counseling and other assistance given each retiree.

2. Categories of Retirees

Within the purview of these procedures there are three categories of retirees with whom RAD is concerned. They are:

(a) Programmed - Those individuals listed in machine runs by name, date of birth, career service, retirement system and longevity computation dates from which it is determined that the individual is within the five-year mandatory retirement zone and therefore subject to periodic and scheduled retirement counseling and assistance.

(b) Non-programmed - Walk-in or referral cases who may desire retirement information or counseling concerning retirement eligibility, planning, systems, options, (i.e., early, disability, etc.), external employment, and/or other related considerations. These individuals may not yet have reached the five-year zone of retirement consideration; they may, in some instances, have met the requirements for optional retirement prior to the mandatory retirement date; they may be retiring prior to 1973 and thus have been invited to participate but are not programmed into the system.

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(c) Post-retirement - Those individuals who have retired and whose files remain active because of a possible requirement for external employment assistance or other retirement assistance which it is within the capacity and authority of the RAD to provide. Except in unusual cases where it may be in the Agency's interest to do otherwise, this assistance will be limited to one post-retirement year.

3. Procedures for Establishment and Current Maintenance of Retiree Dossiers

(a) Programmed

(1) On receipt of the IBM card indicating retirement date (normally five years hence) the RAD clerk will initiate a request for a biographic profile from the Qualifications Analysis Branch (QAB). A retiree dossier will be opened in full name with last name first, the biographic profile inserted and the dossier placed in the retiree central file system. A photograph may later be requested from the Office of Security, if desired. Appropriate record of actions taken by RAD will be entered in the WHEELDEX card file.

(2) The dossier will be organized and maintained in accordance with the RAD approved file and tabs, and appropriate records made of queries, contacts and actions taken in connection with the individual.

(3) The Counselor's questionnaire will be filled in with appropriate annotations and checked in accord with the responses of the employee. The questionnaire and the External Employment Assistance Information form which will be filled in by individuals desiring job assistance, will be filed in the retiree's dossier. The dossier will also be color-coded on the top edge to permit quick identification of an individual's field of interest, skills and geographical area of preference, with regard to post-retirement employment.

(4) Upon completion of a retirement interview with a prospective retiree, the Retirement Counselor will record the results of the interview in a Memorandum for the Record and, if appropriate, the RAD clerk will forward a copy to the External Employment Assistance Branch (EEAB) prior to EEAB follow-up action.

(5) When a dossier is removed from the central file for any reason, a charge-out card, initialed by the officer who withdraws it, will be inserted in its place. If the dossier

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is transferred to the EEAB for retention as the primary action office, an entry will be made in the WHEELDEX (in pencil) showing the reference as a charge-out and indicating the date of transfer. Upon completion of the action, the dossier will be returned to the file and the WHEELDEX will be changed to reflect such return.

(b) Non-programmed

(1) Upon any significant non-programmed contact with the Retirement Counseling Branch (RCB) the latter will open a dossier on the individual, procure the biographic profile and handle as in programmed cases, including entry of information in the WHEELDEX. If appropriate, the individual will also be referred to the EEAB, Retirement Operations Branch (ROB) and elsewhere for specialized assistance.

(2) Any walk-in, referral or other non-programmed contact with the EEAB or ROB will be referred to the RCB. Upon counseling, interviewing or other appropriate action, RCB will establish a dossier on the individual to include a report of action taken. Subsequent referral back to EEAB or ROB will be made as necessary with appropriate entry in the WHEELDEX.

(3) Any subsequent handling or processing of non-programmed retiree's dossier will be in accord with the routine established for programmed cases.

4. Post-Retirement Employment Requirements

Upon completion of counseling interviews by RCB, if it appears that an individual has an active and positive interest in external employment and would favorably consider early retirement if suitable work could be found, or, if the individual's retirement is imminent and there is a pressing need for outside employment, the individual's dossier, if not already there, will be sent to EEAB for immediate action and a WHEELDEX entry made accordingly.

5. Disposition of Retiree Dossiers

(a) No later than four months after retirement of the individual, the original signed approved Personal History Summary will be removed from his dossier and forwarded to the Office of Personnel File Room for inclusion in his Official Personnel Folder prior to the Folder being retired to the Records Center; which in practice, takes place approximately six months after the individual has left the Agency. Normally, within one year after date of actual retire-

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ment, RAD will remove from the dossier all other official documents or correspondence of record and forward this material to the Records Center for inclusion in the retiree's Official Personnel Folder. Non-essential materials will be destroyed and appropriate entries accomplished in the WHEELDEX indicator.

(b) The procedures for closing out a dossier described above may be deferred temporarily in a case where EEAB is still actively engaged in providing post-retirement employment assistance to an individual. In such instances, the dossier will remain intact in the RAD record system until such action is completed.

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